



DOCKET No.: HALO-010

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

IN RE APPLICATION OF:

Peter Lu, et al.

SERIAL No.: 08/977,400

FILED: November 24, 1997

FOR: ELECTRONIC SURFACE MOUNT  
PACKAGE WITH EXTENDED  
SIDE RETAINING WALL

**POWER OF ATTORNEY BY ASSIGNEE**

(Not Accompanying Application)

To the Commissioner of Patents and Trademarks:

The undersigned, HALO ELECTRONICS, INC., assignee of the entire interest in application for letters patent (by virtue of the concurrently submitted Assignment), captioned above, hereby appoints the following attorneys and agents to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith: Stephen E. Baldwin, Reg. No. 27,769; Timothy H. Gens, Reg. No. 29,153; and Laurence J. Shaw, Reg. No. 34,723, provided that if any one of said attorneys ceases being affiliated with the law firm of Trial and Technology Law Group as partner, employee or of counsel, such attorney's appointment as attorney and all powers derived therefrom shall terminate on the date such attorney ceases being so affiliated.

Direct all telephone calls to Stephen E. Baldwin at (650) 324-2258. Address all correspondence to:

**TRIAL & TECHNOLOGY LAW GROUP**  
A Professional Law Corporation  
545 Middlefield Road, Suite 220  
Menlo Park, California 94025

Assignee: HALO ELECTRONICS, INC.

By:

  
James W. Heaton, President

on May 5, 1998, 1998

Address: 3698D Haven Avenue  
Redwood City, CA 94063



Attorney Docket No.: HALO-010

Applicant: Peter LU et al.

Serial No.: 08/977,400

Filing Date: 11/24/97

For: ELECTRONIC SURFACE MOUNT PACKAGE  
WITH EXTENDED SIDE RETAINING WALL

**Verified Statement (Declaration) Claiming Small Entity Status**  
**37 CFR §1.9(f) and §1.27(c) - Small Business Concern**

I hereby declare that I am:

- ☐ The owner of the small business concern identified below:
- ☒ An official of the small business concern empowered to act on behalf of the concern identified below:

Name of Concern: **Halo Electronics, Inc.**

Address of Concern: **3698D Haven Avenue  
Redwood City, CA 94063**

I hereby declare that the above identified small business concern qualifies as a small business concern as defined in 13 CFR §121.12, and reproduced in 37 CFR §1.9(d), for purposes of paying reduced fees under §41(a) and (b) of Title 35, United States Code, in that the number of employees, including those of its affiliates, does not exceed 500 persons and the concern has not assigned, granted, conveyed, or licensed, and is under no obligation under contract or law to assign, grant, convey, or licenses, any rights in the invention to any person who could not be classified as an independent inventor if that person had made the invention, or to any concern which would not qualify as a small business concern or a nonprofit organization under this section. For the purpose of this section concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both. The number of employees of the business concern is the average over the fiscal year of the persons employed during each of the pay periods of the fiscal year. Employees are those persons employed on a full-time, part-time or temporary basis during the previous fiscal year of the concern.

I hereby declare that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention, entitled ELECTRONIC SURFACE MOUNT PACKAGE WITH EXTENDED SIDE RETAINING WALL by inventor(s) Peter Lu, Jeffrey Heaton, James W. Heaton, Tsang Kei Sun, Peter Loh Hang Pao and Robert Loke Hang Lam described in:

the specification filed herewith.

- ☒ Application Serial No. 08/977,400, filed 11/24/97 as amended \_\_\_\_\_

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights to the invention is listed below\* and no rights to the invention are held by any person, other than the inventor, who could not qualify as a small business concern under 37 CFR §1.9(d) or by any concern which would not qualify as an independent inventor under 37 CFR §1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR §1.9(d) or a nonprofit organization under 37 CFR §1.9(e).

\* NOTE: Separate verified statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR §1.27).

Name: \*

Address: \*

☐ individual

☐ small business concern

☐ nonprofit organization

Name: \*

Address: \*

☐ individual

☐ small business concern

☐ nonprofit organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate (37 CFR §1.28(b)).

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

Name of person signing: James W. Heaton

Title of person signing: President

Address of person signing: 3698D Haven Avenue, Redwood City, CA 94063

Signature: 

Date: mar 6, 1998